

CMS Indicators

Centers for Medicare and Medicaid Services (Indicators that are used to inform the CMS Waiver Assurances)

Effective October 1, 2011

			CMS Reporting Indicator?	DDS Responsible?	Required for Follow-Up?
1.	D 1	The individual's plan indicates he or she directed or participated in the planning process to the extent that he or she chose to participate.	Yes	Always	Yes
2.	D 2	The Individual Plan is developed on a timely basis.	Yes	Always	Yes
3.	D 43a	The plan is implemented on a timely basis.	Yes	No	Yes
4.	D 4	The individual's preferences and personal goals are identified in his or her plan.	Yes	Always	Yes
5.	D 13	The individual's plan indicates he or she is working on chosen goals.	Yes	Always	Yes
6.	D 5a	The individual's record contains necessary and current health assessments, screenings, evaluations, reports and/or profiles.	Yes	Conditional	Yes
7.	D 5b	The individual's record contains necessary and current safety assessments, screenings, evaluations, reports and/or profiles.	Yes	Conditional	Yes
8.	D 5c	The individual's record contains necessary and current programmatic assessments, screenings, evaluations, reports and/or profiles.	Yes	Conditional	Yes
9.	D 9	The individual's plan identifies behavioral issues and strategies, as applicable.	Yes	Always	Yes
10.	D 10	The individual's plan identifies any supports that require coordination across settings.	Yes	Always	Yes
11.	D 16	The individual's choice of service options and support providers are reflected in his or her Individual Plan.	Yes	Always	Yes
12.	D 19	The individual's record indicates the case manager shared information with the person and his or her representatives and was supported to choose his/her service options, providers and degree of self-direction and management, as desired.	Yes	Always	Yes
13.	D 24	The Individual Plan identifies the supports the individual needs to manage his or her finances.	Yes	Always	Yes
14.	D 42	The individual's record documents that applications/redeterminations for Medicaid Title 19 and other entitlements and benefits have been processed.	Yes	Conditional	Yes
15.	D 43	Direct service providers maintain documentation of supports and services provided and progress made.	Yes	No	Yes
16.	D 43b	After the IP development, providers obtain needed assessments, screenings evaluations reports and/or profiles and/or follow-up on recommendations.	Yes	No	Yes
17.	D 44	The individual's plan identifies health and safety issues and strategies.	Yes	Always	Yes
18.	D 33	The Individual Plan documents responsiveness to the individual's requests to make changes in supports and services or providers, if applicable.	Yes	Always	Yes
19.	D 36	The Individual Plan identifies additional qualifications and training required for staff to adequately support the person, if needed.	Yes	Always	Yes
20.	D 48	For HCBS Waiver recipients, the Individual Plan HCBS Redetermination Form is complete and current.	Yes	Always	Yes

21.	D 15	Individual Progress Reviews identify that needed services and supports are received.	Yes	No	Yes
22.	D 20	The Individual Plan is modified based on changes in the individual's life goals or circumstances and preferences.	Yes	Always	Yes
23.	D 23	The individual's record contains necessary notifications.	Yes	Always	Yes
24.	D 45	The individual's record shows Abuse and Neglect policy and procedures were followed.	Yes	No	Yes
25.	D 46	The individual's record shows follow-up to Abuse and Neglect concerns regarding the individual, including notification to families.	Yes	Conditional	Yes
26.	D 7	All required medical assessments and appointments are current.	Yes	Conditional	Yes
27.	D 7a	The individual receives necessary oral and dental care including assessment, treatment and follow-up.	Yes	Conditional	Yes
28.	D 35	Support person training regarding the individual's health, safety, and plan is documented.	Yes	No	Yes
29.	D 37	There is documentation that at least one support staff on duty per shift is currently trained in cardiopulmonary resuscitation (CPR).	Yes	No	Yes
30.	D 38	There is documentation that only licensed personnel or certified unlicensed personnel administer medications to the individual.	Yes	No	Yes
31.	D 55	The support person has documented training regarding individual rights.	Yes	No	Yes
32.	D 56	The support person has documented training regarding abuse and neglect reporting and prevention.	Yes	No	Yes